

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

24741-1523

101 Rec'd PCT/PTO 25 JUN 2001

U.S. APPLICATION NO. (If known, specify (U.S. Pat. No.))

09/807,509 09/807509

INTERNATIONAL APPLICATION NO.

PCT/EP99/08678

INTERNATIONAL FILING DATE

11 November 1999 (11.11.99)

PRIORITY DATE CLAIMED

16 November 1998 (16.11.98)

## TITLE OF INVENTION

PROCESS FOR PREPARING ANTIBODIES AGAINST A POLYPEPTIDE IN WHICH THE NUCLEIC ACID ENCODING THE  
PEPTIDE IS KNOWN (AS AMENDED)

## APPLICANT(S) FOR DO/EO/US

Fritz GRUNERT, John THOMPSON and Wolfgang ZIMMERMANN

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. \_\_\_ This is a FIRST submission of items concerning a filing under 35 U.S.C. 371.
2. ☒ This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371.
3. \_\_\_ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. \_\_\_ A proper Demand for International Preliminary Examination was made by the 19<sup>th</sup> month from the earliest claimed priority date.
5. \_\_\_ A copy of the International Application as filed (35 U.S.C. 371©(2))
  - a. \_\_\_ is transmitted herewith (required only if not transmitted by the International Bureau).
  - b. \_\_\_ has been transmitted by the International Bureau.
  - c. \_\_\_ is not required, as the application was filed in the United States Receiving Office (RO/US)
6. \_\_\_ A translation of the International Application into English (35 U.S.C. 371 ©(2)).
7. \_\_\_ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371©(3))
  - a. \_\_\_ are transmitted herewith (required only if not transmitted by the International Bureau).
  - b. \_\_\_ have been transmitted by the International Bureau.
  - c. \_\_\_ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. \_\_\_ have not been made and will not be made.
8. \_\_\_ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371©(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371©(4)).
10. \_\_\_ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371©(5)).

## Items 11. to 16. below concern other document(s) or information included:

11. \_\_\_ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. \_\_\_ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. \_\_\_ A FIRST preliminary amendment.  
\_\_\_ A SECOND or SUBSEQUENT preliminary amendment.
14. \_\_\_ A substitute specification.
15. \_\_\_ A change of power of attorney and/or address letter.
16. \_\_\_ Other items or information:

06/27/2001 UEDUVIJE 00000090 09807509

01 FC:154

130.00 DP




Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**FEE TRANSMITTAL**  
**for FY 2001**

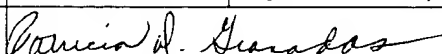
Patent fees are subject to annual revision.

**Complete if Known**

Application Number	09/807,509	
Filing Date	June 25, 2001	PATENT TRADEMARK OFFICE
First Named Inventor	Fritz GRUNERT	
Examiner Name	Unassigned	
Group / Art Unit	Unassigned	
Attorney Docket No.	24741-1523	<b>26633</b>

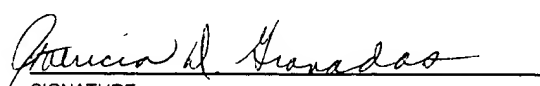
**TOTAL AMOUNT OF PAYMENT** (\$) 130

METHOD OF PAYMENT (check one)		FEE CALCULATION (continued)																																																																																																																																																																														
1. <input type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:  Deposit Account Number: 08-1641  Deposit Account Name: Heller Ehrman White & McAuliffe LLP <input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27		<b>3. ADDITIONAL FEES</b> <table><thead><tr><th>Fee Code</th><th>Large Entity Fee (\$)</th><th>Small Entity Fee (\$)</th><th>Fee Description</th><th>Fee Paid</th></tr></thead><tbody><tr><td>105</td><td>130</td><td>205</td><td>65</td><td>Surcharge - late filing fee or oath</td><td>130.00</td></tr><tr><td>127</td><td>50</td><td>227</td><td>25</td><td>Surcharge - late provisional filing fee or cover sheet.</td><td></td></tr><tr><td>139</td><td>130</td><td>139</td><td>130</td><td>Non-English specification</td><td></td></tr><tr><td>147</td><td>2,520</td><td>147</td><td>2,520</td><td>For filing a request for reexamination</td><td></td></tr><tr><td>112</td><td>920*</td><td>112</td><td>920*</td><td>Requesting publication of SIR prior to Examiner action</td><td></td></tr><tr><td>113</td><td>1,840*</td><td>113</td><td>1,840*</td><td>Requesting publication of SIR after Examiner action</td><td></td></tr><tr><td>115</td><td>110</td><td>215</td><td>55</td><td>Extension for reply within first month</td><td></td></tr><tr><td>116</td><td>390</td><td>216</td><td>195</td><td>Extension for reply within second month</td><td></td></tr><tr><td>117</td><td>890</td><td>217</td><td>445</td><td>Extension for reply within third month</td><td></td></tr><tr><td>118</td><td>1,390</td><td>218</td><td>695</td><td>Extension for reply within fourth month</td><td></td></tr><tr><td>128</td><td>1,890</td><td>228</td><td>945</td><td>Extension for reply within fifth month</td><td></td></tr><tr><td>119</td><td>310</td><td>219</td><td>155</td><td>Notice of Appeal</td><td></td></tr><tr><td>120</td><td>310</td><td>220</td><td>155</td><td>Filing a brief in support of an appeal</td><td></td></tr><tr><td>121</td><td>270</td><td>221</td><td>135</td><td>Request for oral hearing</td><td></td></tr><tr><td>138</td><td>1,510</td><td>138</td><td>1,510</td><td>Petition to institute a public use proceeding</td><td></td></tr><tr><td>140</td><td>110</td><td>240</td><td>55</td><td>Petition to revive - unavoidable</td><td></td></tr><tr><td>141</td><td>1,240</td><td>241</td><td>620</td><td>Petition to revive - unintentional</td><td></td></tr><tr><td>142</td><td>1,240</td><td>242</td><td>620</td><td>Utility issue fee (or reissue)</td><td></td></tr><tr><td>143</td><td>440</td><td>243</td><td>220</td><td>Design issue fee</td><td></td></tr><tr><td>144</td><td>600</td><td>244</td><td>300</td><td>Plant issue fee</td><td></td></tr><tr><td>122</td><td>130</td><td>122</td><td>130</td><td>Petitions to the Commissioner</td><td></td></tr><tr><td>123</td><td>130</td><td>123</td><td>130</td><td>Petitions related to provisional applications</td><td></td></tr><tr><td>126</td><td>180</td><td>126</td><td>180</td><td>Submission of Information Disclosure Stmt</td><td></td></tr><tr><td>581</td><td>40</td><td>581</td><td>40</td><td>Recording each patent assignment per property (times number of properties)</td><td></td></tr><tr><td>146</td><td>710</td><td>246</td><td>355</td><td>Filing a submission after final rejection (37 CFR § 1.129(a))</td><td></td></tr><tr><td>149</td><td>710</td><td>249</td><td>355</td><td>For each additional invention to be examined (37 CFR § 1.129(b))</td><td></td></tr><tr><td>179</td><td>710</td><td>279</td><td>355</td><td>Request for Continued Examination (RCE)</td><td></td></tr><tr><td>169</td><td>900</td><td>169</td><td>900</td><td>Request for expedited examination of a design application</td><td></td></tr></tbody></table>		Fee Code	Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid	105	130	205	65	Surcharge - late filing fee or oath	130.00	127	50	227	25	Surcharge - late provisional filing fee or cover sheet.		139	130	139	130	Non-English specification		147	2,520	147	2,520	For filing a request for reexamination		112	920*	112	920*	Requesting publication of SIR prior to Examiner action		113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action		115	110	215	55	Extension for reply within first month		116	390	216	195	Extension for reply within second month		117	890	217	445	Extension for reply within third month		118	1,390	218	695	Extension for reply within fourth month		128	1,890	228	945	Extension for reply within fifth month		119	310	219	155	Notice of Appeal		120	310	220	155	Filing a brief in support of an appeal		121	270	221	135	Request for oral hearing		138	1,510	138	1,510	Petition to institute a public use proceeding		140	110	240	55	Petition to revive - unavoidable		141	1,240	241	620	Petition to revive - unintentional		142	1,240	242	620	Utility issue fee (or reissue)		143	440	243	220	Design issue fee		144	600	244	300	Plant issue fee		122	130	122	130	Petitions to the Commissioner		123	130	123	130	Petitions related to provisional applications		126	180	126	180	Submission of Information Disclosure Stmt		581	40	581	40	Recording each patent assignment per property (times number of properties)		146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))		149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))		179	710	279	355	Request for Continued Examination (RCE)		169	900	169	900	Request for expedited examination of a design application	
Fee Code	Large Entity Fee (\$)	Small Entity Fee (\$)	Fee Description	Fee Paid																																																																																																																																																																												
105	130	205	65	Surcharge - late filing fee or oath	130.00																																																																																																																																																																											
127	50	227	25	Surcharge - late provisional filing fee or cover sheet.																																																																																																																																																																												
139	130	139	130	Non-English specification																																																																																																																																																																												
147	2,520	147	2,520	For filing a request for reexamination																																																																																																																																																																												
112	920*	112	920*	Requesting publication of SIR prior to Examiner action																																																																																																																																																																												
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action																																																																																																																																																																												
115	110	215	55	Extension for reply within first month																																																																																																																																																																												
116	390	216	195	Extension for reply within second month																																																																																																																																																																												
117	890	217	445	Extension for reply within third month																																																																																																																																																																												
118	1,390	218	695	Extension for reply within fourth month																																																																																																																																																																												
128	1,890	228	945	Extension for reply within fifth month																																																																																																																																																																												
119	310	219	155	Notice of Appeal																																																																																																																																																																												
120	310	220	155	Filing a brief in support of an appeal																																																																																																																																																																												
121	270	221	135	Request for oral hearing																																																																																																																																																																												
138	1,510	138	1,510	Petition to institute a public use proceeding																																																																																																																																																																												
140	110	240	55	Petition to revive - unavoidable																																																																																																																																																																												
141	1,240	241	620	Petition to revive - unintentional																																																																																																																																																																												
142	1,240	242	620	Utility issue fee (or reissue)																																																																																																																																																																												
143	440	243	220	Design issue fee																																																																																																																																																																												
144	600	244	300	Plant issue fee																																																																																																																																																																												
122	130	122	130	Petitions to the Commissioner																																																																																																																																																																												
123	130	123	130	Petitions related to provisional applications																																																																																																																																																																												
126	180	126	180	Submission of Information Disclosure Stmt																																																																																																																																																																												
581	40	581	40	Recording each patent assignment per property (times number of properties)																																																																																																																																																																												
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))																																																																																																																																																																												
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))																																																																																																																																																																												
179	710	279	355	Request for Continued Examination (RCE)																																																																																																																																																																												
169	900	169	900	Request for expedited examination of a design application																																																																																																																																																																												
2. <input checked="" type="checkbox"/> Payment Enclosed: <input checked="" type="checkbox"/> Check <input type="checkbox"/> Credit card <input type="checkbox"/> Money Order <input type="checkbox"/> Other																																																																																																																																																																																
FEE CALCULATION																																																																																																																																																																																
1. BASIC FILING FEE <table><thead><tr><th>Large Fee Code</th><th>Entity Fee (\$)</th><th>Small Fee Code</th><th>Entity Fee (\$)</th><th>Fee Description</th><th>Fee Paid</th></tr></thead><tbody><tr><td>101</td><td>710</td><td>201</td><td>355</td><td>Utility filing fee</td><td></td></tr><tr><td>106</td><td>320</td><td>206</td><td>160</td><td>Design filing fee</td><td></td></tr><tr><td>107</td><td>490</td><td>207</td><td>245</td><td>Plant filing fee</td><td></td></tr><tr><td>108</td><td>710</td><td>208</td><td>355</td><td>Reissue filing fee</td><td></td></tr><tr><td>114</td><td>150</td><td>214</td><td>75</td><td>Provisional filing fee</td><td></td></tr></tbody></table> SUBTOTAL (1) (\$ 0)		Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid	101	710	201	355	Utility filing fee		106	320	206	160	Design filing fee		107	490	207	245	Plant filing fee		108	710	208	355	Reissue filing fee		114	150	214	75	Provisional filing fee																																																																																																																																												
Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid																																																																																																																																																																											
101	710	201	355	Utility filing fee																																																																																																																																																																												
106	320	206	160	Design filing fee																																																																																																																																																																												
107	490	207	245	Plant filing fee																																																																																																																																																																												
108	710	208	355	Reissue filing fee																																																																																																																																																																												
114	150	214	75	Provisional filing fee																																																																																																																																																																												
2. EXTRA CLAIM FEES <table><thead><tr><th>Total Claims</th><th>Extra Claims</th><th>Fee from below</th><th>Fee Paid</th></tr></thead><tbody><tr><td>-20</td><td>= 0</td><td>X</td><td>= 0</td></tr><tr><td>Independent Claims</td><td>-3</td><td>= 0</td><td>X</td><td>= 0</td></tr><tr><td>Multiple Dependent</td><td></td><td>X</td><td>= 0</td></tr></tbody></table> <table><thead><tr><th>Large Fee Code</th><th>Entity Fee (\$)</th><th>Small Fee Code</th><th>Entity Fee (\$)</th><th>Fee Description</th><th>Fee Paid</th></tr></thead><tbody><tr><td>103</td><td>18</td><td>203</td><td>9</td><td>Claims in excess of 20</td><td></td></tr><tr><td>102</td><td>80</td><td>202</td><td>40</td><td>Independent claims in excess of 3</td><td></td></tr><tr><td>104</td><td>270</td><td>204</td><td>135</td><td>Multiple dependent claim, if not paid</td><td></td></tr><tr><td>109</td><td>80</td><td>209</td><td>40</td><td>** Reissue independent claims over original patent</td><td></td></tr><tr><td>110</td><td>18</td><td>210</td><td>9</td><td>** Reissue claims in excess of 20 and over original patent</td><td></td></tr></tbody></table> SUBTOTAL (2) (\$ 0)		Total Claims	Extra Claims	Fee from below	Fee Paid	-20	= 0	X	= 0	Independent Claims	-3	= 0	X	= 0	Multiple Dependent		X	= 0	Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid	103	18	203	9	Claims in excess of 20		102	80	202	40	Independent claims in excess of 3		104	270	204	135	Multiple dependent claim, if not paid		109	80	209	40	** Reissue independent claims over original patent		110	18	210	9	** Reissue claims in excess of 20 and over original patent																																																																																																																											
Total Claims	Extra Claims	Fee from below	Fee Paid																																																																																																																																																																													
-20	= 0	X	= 0																																																																																																																																																																													
Independent Claims	-3	= 0	X	= 0																																																																																																																																																																												
Multiple Dependent		X	= 0																																																																																																																																																																													
Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid																																																																																																																																																																											
103	18	203	9	Claims in excess of 20																																																																																																																																																																												
102	80	202	40	Independent claims in excess of 3																																																																																																																																																																												
104	270	204	135	Multiple dependent claim, if not paid																																																																																																																																																																												
109	80	209	40	** Reissue independent claims over original patent																																																																																																																																																																												
110	18	210	9	** Reissue claims in excess of 20 and over original patent																																																																																																																																																																												
*or number previously paid, if greater; For Reissues, see above		Other fee (specify)  *Reduced by Basic Filing Fee Paid SUBTOTAL (3) (\$ 130)																																																																																																																																																																														

SUBMITTED BY		Complete (if applicable)			
Name (Print/Type)	Patricia D. Granados	Registration No. Attorney/Agent)	33,683	Telephone	(202) 912-2000
Signature		Date	June 25, 2001		

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

U.S. APPLICATION NO. (If known, see 37 C.F.R. 1.50) 09/807,509		INTERNATIONAL APPLICATION NO. PCT/EP99/08678		ATTORNEY'S DOCKET NUMBER 24741-1523	
17. <input checked="" type="checkbox"/> The following fees are submitted:				<b>CALCULATIONS</b> <span style="float: right;">PTO USE ONLY</span>	
<b>Basic National Fee (37 CFR 1.492(a)(1)-(5):</b> • Neither international preliminary examination fee (CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO..... <b>\$1000.00</b>  International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO..... <b>\$860.00</b>  International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO..... <b>\$710.00</b>  International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4)..... <b>\$690.00</b>  International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4)..... <b>\$100.00</b>					
ENTER APPROPRIATE BASIC FEE AMOUNT = \$					
Surcharge of \$130.00 for furnishing the oath or declaration later than 20 ____ 30 <u>X</u> months from the earliest claimed priority date (37 CFR 1.492(e)) <div style="float: right;"><b>\$130.00</b></div>					
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total Claims	18 -20 =		X \$18.00		
Independent Claims	2 -3 =		X \$80.00	\$	
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$270.00	\$	
<b>TOTAL OF ABOVE CALCULATIONS =</b>				<b>\$130.00</b>	
____ Applicants claim small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2. <div style="float: right;"><b>\$</b></div>					
<b>SUBTOTAL =</b>				<b>\$130.00</b>	
Processing fee of \$130.00 for furnishing English translation later the 20 ____ 30 ____ months from the earliest claimed priority date (37 CFR 1.492(f)). <div style="float: right;">+ \$</div>					
<b>TOTAL NATIONAL FEE =</b>				<b>\$130.00</b>	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). <b>\$40.00</b> per property + <div style="float: right;">\$</div>					
<b>TOTAL FEES ENCLOSED =</b>				<b>\$130.00</b>	
				Amount to be:	
				refunded	\$
				charged:	\$
a. <u>X</u> A check in the amount of <u>\$130.00</u> to cover the above fees is enclosed. b. ____ Please charge my Deposit Account No. <u>08-1641</u> in the amount of \$ ____ to the above fees. A duplicate copy of this sheet is enclosed. c. <u>X</u> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>08-1641</u> . A duplicate copy of this sheet is enclosed.					
<b>NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.</b>					
SEND ALL CORRESPONDENCE TO:  Patricia D. Granados, Esq. HELLER EHRMAN WHITE & MCAULIFFE, LLP 1666 K Street, NW, Suite 300 Washington, DC 20006 Tel: (202) 912-2000 Fax: (202) 912-2020					
			 SIGNATURE		
			NAME: PATRICIA D. GRANADOS		
			REGISTRATION NUMBER: 33,683		
			DATE: JUNE 25, 2001		



26633

PATENT AND TRADEMARK OFFICE